

**COMMONWEALTH OF KENTUCKY  
ENVIRONMENTAL AND PUBLIC PROTECTION CABINET  
OFFICE OF FINANCIAL INSTITUTIONS  
AGENCY CASE NO. 2006-AH-029**

OFFICE OF FINANCIAL INSTITUTIONS

PETITIONER

vs.

**DEFAULT ORDER**

JOHN PATRICK ANDERSON

RESPONDENT

\* \* \* \* \*

Whereas an administrative complaint was filed September 26, 2006 in this action by the Office of Financial Institutions (the "OFI") against John Patrick Anderson alleging that Mr. Anderson had violated various provisions of KRS Chapter 292 (the Kentucky Securities Act); and,

Whereas Mr. Anderson was hand delivered a copy of said Complaint by Kyle Trimble, an employee of the OFI, on September 26, 2006, and Mr. Anderson received a copy of said Complaint by certified mail, return receipt requested, on September 27, 2006; and,

Whereas John Patrick Anderson failed to file any responsive pleading to said Complaint although the Complaint contained a "Statement of Respondent's Rights";

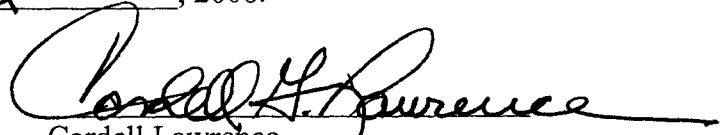
NOW THEREFORE IT IS FOUND pursuant to KRS 13B.050(3)(h) and 808 KAR 10:225 Section 2.(3) and (4) that the allegations contained in the Petitioner's Complaint herein are accepted as true;

IT IS CONCLUDED also pursuant to KRS 13B.050(3)(h) and 808 KAR 10:225  
Section 2.(3) and (4) that the OFI is entitled to the relief requested in its Complaint filed  
herein;

**IT IS THEREFORE ORDERED THAT THE INVESTMENT ADVISOR  
REGISTRATION OF JOHN PATRICK ANDERSON IS REVOKED.**

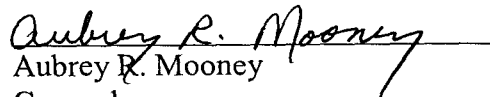
This is a final order subject to judicial review pursuant to KRS 13B.140 and 150.

Entered this 23 day of October, 2006.

  
Cordell Lawrence  
Executive Director  
Office of Financial Institutions  
1025 Capital Center Dr., Suite 200  
Frankfort, KY 40601  
(502) 573-3390

**Certificate**

I, Aubrey R. Mooney, attorney for the Office of Financial Institutions, verify that  
a copy of the foregoing Default Order was mailed certified, return receipt requested, to  
John Patrick Anderson, 2441 Doubletree Court, Lexington, KY 40514 this 26 day of  
October, 2006.

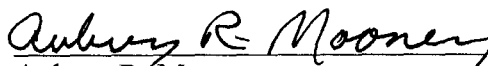
  
Aubrey R. Mooney  
Counsel  
Office of Financial Institutions

# AFFIDAVIT

I, Aubrey R. Mooney, after having been duly sworn, affirm this 23 day of October 2006 that John Patrick Anderson was served with process herein by the hand delivery of a copy of the subject Complaint on September 26, 2006 by Kyle Trimble and by certified mailing of a copy of the said Complaint received by John Patrick Anderson on September 27, 2006 as shown by the "green card" return receipt. The said green card cannot be located at this time.

I, Aubrey R. Mooney, further affirm that to my knowledge John Patrick Anderson is under no disability which would prevent him from making a response to the Complaint of the Petitioner had he chosen to do so.


Further the affiant saith not.

  
Aubrey R. Mooney  
Counsel  
Office of Financial Institutions

COUNTY OF FRANKLIN

STATE OF KENTUCKY

The foregoing Affidavit was subscribed and sworn to before me this 23<sup>rd</sup> day of October 2006 by Aubrey R. Mooney to be his true act and deed.

  
Notary Public  
State of Kentucky at Large  
My Commission Expires: 6/10/07